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Project Authorizations/Agreements, Modifications and Final Vouchers

Control Document(s): 23 USC 106; 23 CFR 172; 23 CFR 630 Subpart A; 23 CFR 630 Subpart B; 23 CFR 635; 23 CFR 646; 23 CFR 650; 23 CFR 652; 23 CFR 656; 23 CFR 660; 23 CFR 668; 23 CFR 710; 23 CFR 750; 23 CFR 751; 23 CFR 924; SDDOT STIP Revision Guidelines; Division Office Project Authorization/Modification and Final Voucher Approval Process Procedures; FMIS Reference Guide, FHWA Order 4560.1A – Financial Integrity Review and Evaluation (FIRE) Program for the Federal-aid Division Offices

SDDOT agrees:

- The Accountant III of Project Development will submit to FHWA for approval the DOT-292 for Federal participation in preliminary engineering (PE), right-of-way (ROW), construction, planning, research, force account, etc. Federal funds shall not participate in costs incurred prior to the date of a project agreement except as provided by 23 CFR 1.9(b).
- The Bid Letting Engineer of Project Development will ensure that the project is in the Statewide Transportation Improvement Program (STIP). The Bid Letting Engineer of Project Development will ensure a STIP revision is processed when a project is not in the STIP or when changes have been made to a project that requires a STIP revision (per SDDOT STIP Revision Guidelines).
- Prior to advertisement for bids and at least 6 weeks prior to the letting date, the Accountant III of Project Development will submit a DOT-292, the ROW and utility certifications, and a cost estimate to FHWA for approval.

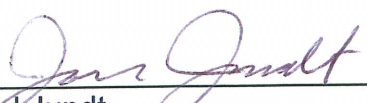
FHWA agrees:

- The Financial Technician or Staff Assistant will review and enter the project information into FMIS, certify that funds are available, and recommend approval/disapproval.
- The Financial Technician or Staff Assistant will route the DOT-292 to the appropriate program managers (i.e. ROW, safety, structures, environment, etc.) for review.
- Within 7 days after receipt of the DOT-292, the appropriate Operations Engineer or program manager will approve/disapprove the DOT-292 for PE, ROW, planning, research, etc. on a project.
- At least 4 weeks prior to the project letting date, the appropriate Operations Engineer or program manager will approve/disapprove the DOT-292 to authorize construction of the project.

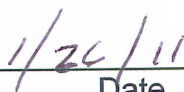
<p>For oversight projects, the Senior Accountant will also submit the plans and proposal.</p> <ul style="list-style-type: none"> • The cost estimate will contain a breakdown of the costs by improvement type. • The DOT-292 will cover any arrangements affecting the Federal funding or non-Federal matching provisions, including tapered match, donations, credits, use of other Federal agency funds, debt instrument financing, etc. • One of the following will recommend approval on the DOT-292: Funding Accountant III or the Bid Letting Transportation Analyst • One of the following will authorize the DOT-292: Funding Accountant III, Billing Senior Accountant, Planning and Engineering Division Director, Project Development Program Manager, Project Development Engineering Supervisor. The authorizing official will not be the same as the recommending official. • In accordance with the FIRE Order, SDDOT will review on a quarterly basis, inactive projects (i.e. a project for which no expenditures have been charged against Federal funds for the past 12 months) with unexpended Federal obligations and shall revise the Federal funds obligated for a project within 90 days to reflect the 	<ul style="list-style-type: none"> • Within 7 days after receipt of a DOT-292 modifying the project costs, the Financial Program Manager, the appropriate Operations Engineer, or appropriate program manager will approve/disapprove the DOT-292. • For oversight projects, the appropriate Operations Engineer will perform the project inspections and final acceptance of the project. • The Financial Program Manager will advise the Accountant III of Project Development of the inactive obligations that will be deobligated by FHWA and provide SDDOT with a due date to respond before action is taken. • FHWA will not adjust the obligations without SDDOT's
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<p>current cost estimate, based on the following criteria: (1) projects inactive for the past 12 months with unexpended balances more than \$500,000, (2) projects inactive for the past 24 months with unexpended balances of \$50,000 to \$500,000, and (3) projects inactive for the past 36 months with unexpended balances less than \$50,000. If the SDDOT fails to comply with these requirements, then the FHWA shall revise the obligations.</p> <ul style="list-style-type: none"> • SDDOT's total dollars of inactive obligations will be less than 5% of the current fiscal year's Federal-aid program. • SDDOT will revise the DOT-292 within 90 days after it has been determined that the estimated Federal share of the project costs has decreased by \$250,000 or more. • If actual construction of a road for which Federal funds has been used to acquire right-of-way is not undertaken by the close of the 20th fiscal year following the fiscal year in which the project is authorized, SDDOT will repay to FHWA the Federal funds expended by SDDOT. SDDOT may request a time extension beyond the 20-year limit with no repayment of Federal funds, and FHWA may approve this request if it is considered reasonable. • If right-of-way acquisition or actual construction of the road 	<p>consent during the August redistribution process, August 1 to September 30.</p> <ul style="list-style-type: none"> • The Financial Program Manager will deobligate the inactive obligations and notify Accountant III of Project Development of the affected projects. • The Division Administrator will approve requests to extend the right-of-way term limits when projects are not advanced to construction in the given timeframe. • After consultation with the appropriate Operations Engineer, the Financial Program
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<p>for which preliminary engineering is undertaken is not started by the close of the 10th fiscal year following the fiscal year in which the project is authorized, SDDOT will repay to FHWA the Federal funds expended by SDDOT. SDDOT may request a time extension for any preliminary engineering project beyond the 10-year limit with no repayment of Federal funds, and FHWA may approve this request if it is considered reasonable.</p> <ul style="list-style-type: none"> • Within a year after the final cost has been billed to FHWA, the Senior Accountant of Finance will submit the Federal Final Voucher to FHWA. SDDOT may request a time extension beyond the one year limit if a valid reason exists for not submitting the Final Voucher within a year. • The Funding Accountant III or the Bid Letting Transportation Analyst will recommend approval on the Federal Final Voucher. • The Billing Senior Accountant will authorize the Federal Final Voucher. • SDDOT will maintain all project records including printed copies E-Mail messages giving approvals and weigh tickets for 3 years after FHWA approves the Federal Final Voucher to close the project. 	<p>Manager will approve requests to extend the preliminary engineering term limit when projects are not advanced to construction in the given timeframe.</p> <ul style="list-style-type: none"> • Within 2 weeks after receipt of the Final Voucher, the Financial Program Manager or Planning Engineer (for planning funds) will approve/disapprove the Final Voucher.
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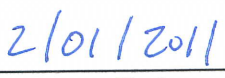
Joel Jundt
SDDOT Planning and Engineering Division Director



Date



Todd D. Jorgensen
FHWA Assistant Division Administrator



Date